APPLICATION FOR
COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG) ENTITLEMENT PROGRAM
— 2017 Program Year Funding—

ACTIVITY NAME: Saratoga Springs Code Blue Program

APPLICANT: Shelters of Saratoga, Inc

MAILING ADDRESS: PO Box 3089, 14 Walworth Street
Saratoga Springs, NY Zip: 12866

PHONE: 518-581-1097 FAX: 518-581-8735 EMAIL: mfinocchi@sheltersofsaratoga.org

CONTACT PERSON: Michael A. Finocchi TITLE: Executive Director

APPLICANT (select 1): ☑ City Department ☑ Private non-profit organization
☑ Other Public Agency

(List Dept.) (List Federal ID #) (Specify)

003900896 (DUNS #)

NATIONAL OBJECTIVE (select 1):
“Benefit persons of Low/moderate income” “Address slum/blight Conditions” “Urgent CD Need”
☐ L/M Income Area Benefit “N/A” Slum/blighted Area “N/A” Urgent Need
X ☐ L/M Income Limited Clientele Activities “N/A” Slum/blighted Spot Basis
☐ L/M Income Housing Activities “N/A” Urban Renewal Completion
☐ L/M Income Job Creation/Retention

REQUESTED ENTITLEMENT FUNDING: $29,238
Funding Leveraged from Other Sources: $11,038
Total Activity Cost: $40,276

Proposal Abstract - please provide a brief overview of your proposal including the number of persons that will be served with this grant in the space below:
Code Blue Saratoga (CBS) is a broad-based community initiative that provides safe and secure overnight lodging to 41 chronically homeless men and women on nights when the weather is life threatening, 32 degrees or less and a foot of snow or more is predicted. In order to ensure that its carefully developed, supportive measures are routinely employed, the CBS Steering Committee had created the position of a CBS Director. It has been determined that in the interest of program continuity, the full time position should be maintained on a year round basis. The CBS Director will also act as the Continuum of Care Coordinator. Support from the private sector have enabled the Code Blue Director to maintain full time status for the betterment of the Code Blue Program. However, if she is to use this year’s valuable experience to further develop services to meet the needs of those living on the streets in the area during next winter, it is necessary to raise funds for her salary and modest levels of program expense needed when current donated funds are depleted in early July.

[Signature]
Michael A. Finocchi

[Title]
1/24/2017

[Typed or Printed Name]
Please respond in writing to each of the following (add additional pages as necessary):

1. Activity Description
Provide a detailed description of your proposed activity. In this description, provide responses to the following items:

A) Identify whether the activity is new, ongoing, or expanded from previous years.
   Code Blue will be going into its third year of operation in December 2015. While it is a fairly new initiative in the City, there is a national model for the program that houses chronically homeless adults in times of extreme weather and has been implemented successfully in the Capital District area for more than four years. Thus, when tragedy brought to light the fact that the health and safety of chronically homeless individuals in Saratoga Springs are vulnerable to those extreme conditions, the only logical step was to create a local Code Blue program.

B) Describe the community need that your activity is intended to address and how your activity will address that need. Provide evidence that this need is currently not being addressed through existing programs or activities.
   CBSS was initiated out of tragedy. In December of 2013, when overnight temperatures (factored by wind chill) had dipped to 9 degrees F, a 52 year old homeless woman was found dead by Saratoga Springs Police on the loading dock of the Senior Center on Williams Street. In less than a week, that event prompted a meeting of representatives from the City of Saratoga Springs, Shelters of Saratoga, key human service agencies and some of the city faith communities. Upon hearing firsthand from the Albany-based Homelessness and Travelers Aid Society (HATAS), the principle coordinator of Albany’s multi-organizational weather-related sheltering initiative, those gathered agreed upon the need for the development of Code Blue Saratoga Springs, an organized, comprehensive multi-partner program that would be equipped, organized and poised to respond to the emergency need for shelter when similar weather conditions were forecasted. By December 20th, 2013 a plan to provide such emergency shelter was in place at the former St. Peters elementary school building. On the night of December 24th, 2013, the plan was implemented and eight homeless men and women chose to come out of the cold and utilize the services of Code Blue sharing a hot meal and sleeping in peace. Subsequently, in the face of one of the cruelest early winters in recent years, on 18 nights 198 individuals have had access to an evening meal, slept in cots provided by the American Red Cross, counseled with more than 200 volunteers on site, received medical care when necessary at Saratoga Hospital community health center, and had breakfast before departing. These events took place within six weeks of the event that had prompted an awareness of need.

CBSS second season in existence brought many challenges. As the 2013-2014 winter season came to a close the search for a permanent site commenced. The Salvation Army took the lead and offered their facility to house Code Blue Saratoga. This decision was not confirmed until the beginning of November 2014 after a lengthy search. By securing a permanent site, guests would not have to wonder where the shelter would be on any particular evening Code Blue was open. The committee’s mandate was that the program needed to have a permanent site to serve more guests. This turned out to be a blessing as our average guest per night has more than doubled, going from an average, in our inaugural season of 16 guests per night to 36 that season. The following season, 2015-2016 followed suite as the previous season but average number of guest dropped to 34. There are many factors that play into the drop in numbers especially since it was a very mild winter. The 2016-2017 season brought about struggles as The Salvation Army did not enter into a contract to once again House Code Blue Saratoga. A search committee was formed and numerous locations were sought but with the Executive Order no one could commit to housing the program. In August the Soul Saving Station stepped forward and offered their community hall for use as they no longer needed it for programming. To date, Code Blue has been open 64 nights serving 2,665 overnight guests. Dinner only guests total 512 for an average of 8 “dinner guests only” a night. In all, Code Blue Saratoga has assisted 3,136 individuals.
C) Identify who will benefit from the proposed activity. If the activity is designed to benefit:
The HUD identified “limited clientele” that should be accorded high priority by the community for approval of CDBG funding includes those that are homeless. As of November 1, 2016 there were 51 individuals living in encampment area sprinkled throughout the city of Saratoga Springs. At the time of this draft, the 2017 annual “point in time” count has not taken place. As of January 23, 2017 Code Blue Saratoga has been open 64 nights and 13 days and based on those numbers we can conservatively project that during the 2016-2017 Code Blue season, there may be as many as 5,330 individual bed nights (41 guests x 130 (projected) evenings open) for guests who would have otherwise spent the night in various unsafe and inadequate outdoor conditions. These figures have been populated by strict, daily record keeping requiring guests to sign in as they enter the shelter. The increased number of days of operation is in direct correlation with the Governors Executive Order 151 which states that at 32 degrees, shelters must open their doors to allow those that are homeless a warm and safe environment safe, out of hazardous conditions. Previous to the Executive Order, Code Blue Saratoga opened its doors when the temperature hit 20 degrees or lower and a foot of snow or more was predicted. Local businesses have been very receptive to the Code Blue initiative allowing Code Blue Saratoga to place candles that aluminate blue in their windows signifying that Code Blue is open that evening.

C-1) individual persons of low- to moderate-income, describe the process you will use to identify these persons and determine their income eligibility and the number of persons you expect to serve.
N/A
C-2) the inhabitants of a predominantly low-moderate income area, identify the Census Block Group in which the activity is located.
N/A
C-3) designed to benefit a low-moderate income “limited clientele”, identify the “limited clientele” group.
N/A

D) Identify your performance goals and the types of indicators you will use to document activity accomplishments and success.
(Examples should include: # of persons with new/improved access to services, # of affordable houses rehabilitated, etc.)
At Code Blue Saratoga, guests are asked to sign in upon entry and they are also asked to provide their county of origin or at the very least, where they were last permanently housed so we can gather an accurate count of how many individuals are actually from Saratoga Springs and the county of Saratoga. The ultimate goal is to assist those living on the streets during the harsh upstate winters and provide them with safe shelter. Various support agencies are on hand as well as trained volunteers who can assist those utilizing Code Blue Saratoga services in finding the appropriate care needed. Since the inception of Code Blue Saratoga, December of 2013, 29 individuals have transitioned form Code Blue to the case managed shelter at SOS. So far this season, 2016-2017, 5 Code Blue guests have transitioned to SOS. Of the original 29, only 4 have returned to Code Blue the following seasons. The remaining 25 have gone on with the help of case management to their own apartment and have secured employment or were eligible for Social Security benefits.

E) Provide an activity timeframe/schedule (include start, completion dates, and other significant performance stages).
Mar. 1, 2017---Executive Memorandum of Agreement
Apr. 1, 2017---Draft outline for review of 2017-108 Code Blue season
Apr. 15, 2017---SOS Board approval of outline
May 31, 2017---Conclude review of 2016-2017 Code Blue season with recommendations
Jun. 1, 2017---Commence assessment of need and demand for year round emergency shelter
Jul. 1, 2017--- Commence planning for November 1, 2017-April 1, 2018 season
Aug. 1, 2017---Review draft plan with SOS BOD
Aug. 15, 2017---Compile list of prospective permanent Code Blue emergency shelter sites
Sept. 15, 2017---Recommend sites for serious consideration
Nov. 1, 2017---Earliest date for opening of 2017-2018 Code Blue season
Mar. 31, 2018---Conclusion of current Code blue season, weather permitting
Apr. 15, 2018---Complete review of 2017-2018 Code Blue season
F) Identify whether the activity requires additional local, state or federal approval (license, permit, design/historic/environmental review, etc.). For construction/site development projects, provide evidence of site control.

The current location of the Code Blue Saratoga program has been deemed appropriate for use by Saratoga Springs Code Enforcement as well as the Fire Inspector. In the event another site is deemed preferable prior to the next Code Blue season, the city’s Building Department and Fire Department respectively will inspect that facility and certify its use in accordance with zoning and regulations and meets all conditions required for fire safety.

2. ORGANIZATIONAL CAPACITY

A) Provide an overview of your organization including length of time in existence. List current officers and board members and identify any prior funding by the City of Saratoga Springs (year, activity, and amount).

In August, 2015 Shelters of Saratoga was unanimously chosen by the Code Blue Steering Committee to take over Code Blue Saratoga as its lead agency. SOS has served the area’s homeless adults since 1992. It has evolved from its original role as an emergency shelter to one that is focused on assisting men and women to recover from the factors that contribute to their homeless conditions. SOS offers a full continuum of services from case management, fiscal management, employment training, daily living skills etc… A non-profit corporation that has a Federal 501 ( c )3 charitable designation, SOS is governed by a 15 member Board of Directors whose monthly meetings and working committee assignments assure their intimate and up-to-date familiarity with the organization’s daily operations as well as provide the critical information needed to conceive, adopt and implement a strategic planning process. That process has affirmed the appropriateness of assuming a management role in the development and implementation of Code Blue Saratoga’s initiative. The names of the current board members as well as their specific roles in the governance and operations of SOS are attached. Code Blue Saratoga has been fortunate enough to be the recipient of a $16,150 block grant in 2016-2017, $20,000 in 2015-2016, $20,000 in 2014-2015 and $10,000 in 2013-2014.

B) Describe your organization’s experience in successfully conducting this type of activity. Identify any skills, current services, or special accomplishments that demonstrate your capacity for success.

SOS’ current capacity of 33 beds enables it to house, feed, provide case management and support services to approximately 410 men and women whose average length of stay is 43 days. Throughout that period, SOS Case Managers assist each house guest as appropriate; (i) to secure employment, (ii) locate affordable housing, (iii) gain access to health care services including physical, psychiatric or substance abuse services. Their efforts are supported by a combination of rigorously enforced house rules and regulations that are designed to emphasize to each guest the importance of embracing responsibility and accountable lifestyles. SOS also houses, on average 4 Veterans a month. Veterans are connected immediately to Veteran agencies who also assist with medical, housing and employment.

Employment is often the first priority for SOS houseguests. Each guest who is sent to stay at SOS by the county Department of Social Services is obligated every week to document an active search for employment. Since it is logical that having affordable housing within reasonable proximity to that employment is essential, the search for housing is concurrently mandated by DSS. SOS also deals, on a daily basis with a large and growing prevalence of homeless adults with mental health issues. The challenge with this segment of the homeless population is to ensure that they are accessing appropriate clinical services and, as recommended by their specific needs, access to residential treatment settings within and outside of the Saratoga Springs area. It should be clear that for
houseguests to obtain assistance in meeting their respective needs, SOS must accurately identify the service providers who are best qualified to address those needs and effectively collaborate with them.

C) Identify the person(s) responsible for program and financial management of the activity. Identify all other persons involved in this activity noting whether these positions are current or new, pending this award. For construction/site development projects, identify the development team including proposed contractors, subcontractors, and project manager.

The person responsible for overseeing the daily operations of CBSS was chosen by the CBSS Steering Committee. This position started as a part time position but has now evolved into a full time position based on the need of the program. Cheryl Ann Murphy-Parent brings 11 years of service with the Adirondack-Saratoga Chapter of the American Red Cross, the last 7 years of which were spent directing Emergency Services and managing regional responses in 5 counties and managing all aspects of Mass Care with partnering communities and agencies. Her experience has prepared her to effectively oversee operations of CBSS through its first three years, prepare for the next and spearhead the broader exploration of the need for year-round emergency sheltering of the homeless in the Greater Saratoga Region.

As the coordinator’s immediate supervisor, Michael A. Finocchi, Executive Director of SOS will assure that the approved work plan and budget (including fund-raising initiatives) are implemented effectively and as scheduled. With respect to the latter, SOS will continue in its current role as the lead agency of all program funds including the planning for an implementation of CBSS fund-raising activities. Shelters of Saratoga also brings to the process the continuity of operating a homeless shelter for 25 years.

During the 2014-2015 season of Code Blue activity, the following roles and the incumbents for each have effectively managed discrete components of the program.

- Site Representative---Pastor Arnold Byrd---Soul Saving Station
- Meal Coordinator---Cheryl Ann Murphy-Parent
- Volunteer Training---Mark Bertrand
- Volunteer Scheduling/Web Site---Leo Geoffrain
- Clothing Coordinator---Racheal Dwyer
- Andy Gilpin---Code Blue committee Chair
- Lead Agency---Shelters of Saratoga

D) Identify any other agencies/partners involved in this activity and define their roles and responsibilities.

Since SOS became the lead agency running Code Blue Saratoga, the Code Blue committee remained intact and remains a vital component in the functionality of the Code Blue Saratoga program with SOS overseeing the day to day operations. Code Blue Saratoga continues to be a stand-alone program with a separate budget from SOS. In her lead role, the Code Blue Saratoga Director will rely on the expertise and commitments of the Code Blue Committee members whose broad based composition includes:

1. The City of Saratoga Springs Office of the Mayor and Police Department
2. Shelter of Saratoga
3. Saratoga County Economic Opportunity Council
4. Captain Youth and Family Services
5. St. Peter’s Church
6. The Soul Saving Station
7. American Red Cross
8. New England Congregational & Presbyterian Church
9. The Giving Circle
10. Saratoga Hospital
11. Wellspring

3. ACTIVITY BUDGET - (ATTACHMENTS 1, 2)
A) Include attached budgets (Attachments 1, 2) as appropriate. Depending on the activity, the applicant may need to submit one or both of the attached budget forms. More detailed budgets may be attached (and are recommended) in support of the proposal. If an architect, engineer, or other personnel have conducted a cost analysis, attach a copy noting the author and date of analysis.

- PROGRAM OPERATING BUDGET (Attachment 1) - for all proposals including public service projects and construction/site development projects

- CONSTRUCTION/SITE DEVELOPMENT BUDGET (Attachment 2) - for construction/site development projects

B) Identify the amount and sources of leveraged funding for this activity. Include the status of these funds (i.e. cash on hand, grants received, planned fund-raising, etc.). Attach copies of funding commitment letters or other evidence of funding support.

4. MONITORING OF FEDERAL FINANCIAL ASSISTANCE TO SUBRECIPIENTS - (ATTACHMENT 3)
The City of Saratoga Springs is responsible for ensuring that subrecipients expend awards in accordance with applicable laws, regulations, and provisions of contracts and grant.

A) In accordance with OMB Circular A-133, please complete Attachment 3 and include it with your application.

B) During your last fiscal year, if your organization expended more than $500,000 in total federal financial awards (including CDBG and all other federal assistance), please include a copy of your latest Single Audit Report with this application.
**PROGRAM OPERATING BUDGET**

(Entitlement Grant + Leveraged Funds = Total Activity Cost)

<table>
<thead>
<tr>
<th>Personnel</th>
<th>Entitlement Grant</th>
<th>Leveraged Funds*</th>
<th>Total Activity Cost</th>
<th>*Source of leveraged Funds and In-Kind Services</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries</td>
<td>$29,238</td>
<td></td>
<td>$29,238</td>
<td>Funded by CDBG</td>
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<tr>
<td>Fringe</td>
<td>$11,038</td>
<td></td>
<td>$11,036</td>
<td>Funded by CDBG</td>
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<tr>
<td>Other</td>
<td></td>
<td>$2,000</td>
<td>$2,000</td>
<td>Admin support will be provided by Shelters of Saratoga</td>
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<tr>
<td>(consultants, etc.)</td>
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<tr>
<td><strong>Subtotal</strong></td>
<td><strong>$40,276</strong></td>
<td><strong>$2,000</strong></td>
<td><strong>$42,274</strong></td>
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**OVERHEAD**

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<tr>
<td>Advertising/Marketing</td>
<td>$1,500</td>
<td>$1,500</td>
<td>Cleaning supplies, toiletries, boots, jackets, socks.</td>
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<tr>
<td>Program Supplies</td>
<td>$3,250</td>
<td>$3,250</td>
<td>Cost of renting space at Soul Saving Station for 6 months.</td>
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<tr>
<td>Rent &amp; Utilities</td>
<td>$9,000</td>
<td>$9,000</td>
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<tr>
<td>Other – list below</td>
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<tr>
<td>Computer &amp; cell phone</td>
<td>$1,350</td>
<td>$1,350</td>
<td>Monthly cell phone fee, ink for printers and web hosting costs</td>
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<tr>
<td>Food</td>
<td>$18,522</td>
<td>$18,522</td>
<td>Restaurants, churches and civic groups donate dinner for 49 guests for the estimated 126 days of code blue</td>
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<tr>
<td><strong>Subtotal</strong></td>
<td><strong>$33,622</strong></td>
<td><strong>$33,622</strong></td>
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**TOTAL COST**

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<tr>
<td><strong>$40,276</strong></td>
<td><strong>$35,622</strong></td>
<td><strong>$75,896</strong></td>
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</table>
**CONSTRUCTION / SITE DEVELOPMENT BUDGET**

(Entitlement Grant + Leveraged Funds = Total Activity Cost)

<table>
<thead>
<tr>
<th>ENTITLEMENT GRANT</th>
<th>Leveraged Funds*</th>
<th>Total Activity Cost</th>
<th>*Source of leveraged Funds and In-Kind Services</th>
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### PRECONSTRUCTION

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<tr>
<th>Item</th>
<th>Grant</th>
<th>Leveraged Funds*</th>
<th>Total Activity Cost</th>
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<tbody>
<tr>
<td>Legal</td>
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<td>Engineering</td>
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<td>Architectural/Design</td>
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<td>Fees and Permits</td>
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Subtotal

### DEVELOPMENT

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<tr>
<th>Item</th>
<th>Grant</th>
<th>Leveraged Funds*</th>
<th>Total Activity Cost</th>
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<tbody>
<tr>
<td>Relocation</td>
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<tr>
<td>Site Preparation</td>
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<tr>
<td>Construction - materials</td>
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<tr>
<td>Construction - labor</td>
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<tr>
<td>Construction Financing</td>
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<tr>
<td>Other - (explain)</td>
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Subtotal

### TOTAL COST

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<tr>
<th>Grant</th>
<th>Leveraged Funds*</th>
<th>Total Activity Cost</th>
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OFFICE OF MANAGEMENT AND BUDGET (OMB) CIRCULAR A-133
MONITORING OF FEDERAL FINANCIAL ASSISTANCE TO SUBRECIPIENTS

ORGANIZATION: Shelters of Saratoga, Inc.

MAILING ADDRESS: PO Box 3089, 14 Walworth Street, Saratoga Springs NY 12866

FEDERAL ID #: 14-1758441 PHONE: 518-581-1097 FAX: 518-581-8735

DUNS #: 003900869

1. Please identify your fiscal year (mth/yr to mth/yr): 07/1/17-6/30/18

Please identify below the funding received during your last fiscal year:

2. Community Development Block Grant Entitlement Funding (CDBG):

CDBG Activity Name: Code Blue Saratoga

CDBG Funding Program Year: 7/16-6/17 CDBG Funding Amount: $16,150

3. Other Federal Financial Awards (cash & non-cash):

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<tr>
<th>GIVE NAME &amp; CATALOG OF FEDERAL FINANCIAL ASSISTANCE (CFDA) #</th>
<th>AMOUNT OF AWARDS</th>
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4. During your last fiscal year, has your organization expended more than $500,000 in total federal financial awards (incl. CDBG & all other federal assistance)?

   YES * _____ NO X

* If “yes”, include a copy of your latest Single Audit Report with this completed and signed form as part of your application. If you answered “no”, please complete, sign and return this form.

5. Are you aware of any financial audit violations, findings or questioned costs relating to any activity funded with federal financial assistance?

   YES * _____ NO X

* If “yes”, please describe:

   ______________________________________________________
   ______________________________________________________
   ______________________________________________________

6. Other Saratoga County Awards (cash & non-cash):

<table>
<thead>
<tr>
<th>IDENTIFY PROGRAM NAME &amp; YEAR OF AWARD</th>
<th>IDENTIFY AMOUNT OF CO. AWARDS</th>
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Authorized Signature

Date 1/24/2017